Ames Laboratory	<i>,</i>		Procedure: 10200.038		
Office: Environment, Safety, Health & Assurance Title: Accidents, Incidents & Employee Safety Concerns:			Revision: 2		
			Effective Date: 3/1/02		
	tion & Inves	tigation			
Page: 1of 8			Review Date: 3/1/2005		
$\mathbf{A}$	CCIDENTS	S, INCIDENTS & EMPLOYER	E SAFETY CONCERNS:		
		CLASSIFICATION & INVES	TIGATION		
Comments and a	uestions reg	arding this policy should be direc	cted to the contact person listed below:		
			<b>P</b>		
	Name:	Shawn Nelson			
		<b>Industrial Safety Specialist</b>			
	Address:	G40 TASF			
	Phone:	294-9769			
Cian off Dogard					
Sign-off Record:					
Annroyed by:			Date:		
Tappiored by.	Date: Manager, Environment, Safety, Health & Assurance				
	Triuliugei, I	minimum, burery, freumin & A	bbaranee		
Reviewed by:			Date:		
<b>.</b>	Deputy Dir	rector	<del></del>		

Classification & Investigation Page: 2of 8 Review Date: 3/1/2005 1.0 REVISION/REVIEW LOG 3 3 2.0 PURPOSE AND SCOPE 3.0 RESPONSIBILITIES 3.1 LABORATORY DIRECTOR 3 3.2 PROGRAM DIRECTOR / DEPARTMENT MANAGER 4 4 3.3 GROUP / SECTION LEADER 3.4 ENVIRONMENT, SAFETY, HEALTH & ASSURANCE (ESH&A) 4 3.5 OCCUPATIONAL MEDICINE 4 3.6 EMPLOYEES 4 4.0 ACCIDENT & INCIDENT INVESTIGATION PROCEDURES 4 4.1 DOCUMENTATION 4.2 INVESTIGATION, CLASSIFICATION & REPORTING 5 5 **CLASSIFICATION** 4.2.1 5 4.2.2 **INVESTIGATION** 4.2.3 **REPORTING & NOTIFICATION** 6 6 4.3 EMPLOYEE SAFETY CONCERNS PROGRAM 4.4 LESSONS LEARNED PROGRAM 7 4.5 OCCURRENCE REPORTING 7 4.6 COMPUTERIZED ACCIDENT & INCIDENT INVESTIGATION 7 REPORTING SYSTEM (CAIRS) 5.0 APPENDICIES Diagram 1 - Investigation and Recordkeeping Process (Form # 10200.128) Appendix A -Appendix B -Form: Patient Status Report (Form #10200.129) Form: U.S. DOE Supplementary Record of Occupational Injuries & Illnesses Appendix C -(Form # 10200.130) Form: Work Injury Report (Form 46600.024) Appendix D -Form: Incident & Concern Reporting (Form 10200.088) Appendix E -Form: State of Iowa Work Injury Report (Form # 10200.131) Appendix F -

Procedure: 10200.038

Effective Date: 3/1/02

Revision: 2

Ames Laboratory

Office: Environment, Safety, Health & Assurance

Title: Accidents, Incidents & Employee Safety Concerns:

Office: Environment, Safety, Health & Assurance

Title: Accidents, Incidents & Employee Safety Concerns: Effective Date: 3/1/02

Classification & Investigation

Page: 3 of 8 Review Date: 3/1/2005

### 1.0 REVISION/REVIEW LOG

Environment, Safety, Health & Assurance (ESH&A) will review this document once every three years at a minimum:

Revision: 2

Revision	Effective	Contact	Pages	
<u>Number</u>	<b>Date</b>	Person	<b>Affected</b>	<b>Description of Revision</b>
0	9/1/1998	J. Withers	All	<b>Initial Issue</b>
1	11/1/2001	S. Nelson	All	G:\Docs&Recs\DCP\
				Revisions Descriptions\102_038rev1
2	3/1/2002	S. Nelson	Page 6	G:\Docs&Recs\DCP\
				Revisions Descriptions\102 038rev2

### 2.0 PURPOSE AND SCOPE

The primary purpose of investigating accidents and incidents is to determine what caused the event. By determining the direct, contributing, and root causes, corrective actions can be identified and similar occurrences prevented.

An effective Employee Safety Concerns Program is a key component of an organization's overall environment, safety and health program. Thorough investigation of employee concerns promotes "ownership" of the ES&H program by employees and contributes to the Lab's overall mission of providing a safe and health workplace while also protecting the environment.

Results of investigations also provide the basis for compliance with Department of Energy reporting requirements that include the Occurrence Reporting and Processing System (ORPS) and Computerized Accident & Incident Investigation Reporting System (CAIRS). Occupational Safety & Health Administration (OSHA) reporting requirements are fulfilled via completion of the OSHA 101 and 200 forms.

Information gleaned as a result of investigations is disseminated via the Laboratory's Lessons Learned Program (See Plan #10200.010, Lessons Learned Program Implementation Plan) as appropriate.

This procedure describes how the Laboratory investigates a work-related accident or incident. The process by which employee safety concerns are investigated is also described. It applies to all Ames Laboratory employees.

### 3.0 RESPONSIBILITIES

3.1 LABORATORY DIRECTOR – The Laboratory Director is ultimately responsible for ensuring that investigations of accidents & incidents are conducted in a comprehensive and timely fashion; the Director is also responsible for fostering an environment in which employee safety concerns are shared and addressed.

Office: Environment, Safety, Health & Assurance Revision: 2

Title: Accidents, Incidents & Employee Safety Concerns: Effective Date: 3/1/02

Classification & Investigation

Page: 4of 8 Review Date: 3/1/2005

3.2 PROGRAM DIRECTOR / DEPARTMENT MANAGER – Program Directors and Department Managers shall work closely with ESH&A and DOE personnel on accident investigations as required; Program Directors and Department Managers shall also ensure that program personnel are encouraged to share concerns and that those concerns will be resolved in a timely manner by working with appropriate Laboratory personnel.

- 3.3 GROUP / SECTION LEADER Group/ Section Leaders shall ensure that group members report all work-related injuries and illnesses to their immediate supervisor and seek medical assistance from the Occupational Medicine office, if necessary; Group / Section Leaders shall encourage the sharing of concerns by employees and participate with appropriate Laboratory personnel in their resolution.
- 3.4 ENVIRONMENT, SAFETY, HEALTH & ASSURANCE (ESH&A) ESH&A will facilitate the implementation of this procedure by working with appropriate Laboratory personnel; ESH&A will also be responsible for classifying accidents (including the Occurrence Reporting and Processing System (ORPS)), conducting accident investigations as indicated by this procedure, recommending corrective actions and assuring that all required recordkeeping is completed; ESH&A will also serve as the primary contact for any external investigations conducted by DOE.
- 3.5 OCCUPATIONAL MEDICINE Occupational Medicine shall be responsible for treatment or referral of all work-related injuries and illnesses; Occupational Medicine shall also interact with ESH&A on the investigation and classification of incidents and accidents.
- 3.6 EMPLOYEES Ames Laboratory employees shall facilitate the implementation of this procedure by participating in investigations, sharing concerns pertaining to workplace safety and health and the environment with their supervisor, and complying with all relevant ES&H policies and procedures.

### 4.0 ACCIDENT & INCIDENT INVESTIGATION AND CLASSIFICATION PROCEDURES

### 4.1 DOCUMENTATION

Occupational Medicine and/or ESH&A shall evaluate all reported work-related accidents and incidents. The Investigation & Recordkeeping Process Form # 10200.128 (Appendix A) shows the process that is followed. The following documentation is filled out when a medical evaluation is done after a work-related accident or incident:

1) **Patient Status Report** – Form # 10200.129 (Appendix B) – This form is filled out by the Occupational Medicine physician and details the diagnosis and any work restrictions. The original is kept in the employee's medical records; copies are sent to the employee, supervisor and Beardshear.

Office: Environment, Safety, Health & Assurance

Title: Accidents, Incidents & Employee Safety Concerns: Effective Date: 3/1/02

Classification & Investigation

Page: 5 of 8 Review Date: 3/1/2005

2) U.S. DOE Supplementary Record of Occupational Injuries & Illnesses Form #10200.130 (Appendix C) – This form is completed by the patient and supervisor and returned to Occupational Medicine. Occupational Medicine routes the form to ESH&A for review. ESH&A conducts any necessary investigations, determines number of days away from work and number of days of restricted work activity and returns the form to Occupational Medicine after a signature from the ESH&A Manager. ESH&A retains the original and sends two copies to Occupational Medicine. On a regular basis, the Occupational Medicine Coordinator, Industrial Safety Specialist and Industrial Hygienist confer on the status of each work-related incident. Upon mutual consent, incidents are classified as OSHA-recordable or non-recordable.

Revision: 2

- 3) **Work-Related Injury Report** Form 46600.024 (Appendix D) This form is filled out by Occupational Medicine and delivered to ESH&A immediately upon completion of treatment of a work-related injury.
- 4) **Incident and Concern Reporting** Form #10200.088 (Appendix E) This form is initiated by either the employee raising the concern or ESH&A and later completed by the ESH&A lead assigned to track the concern.
- 5) **State of Iowa First Report of Injury or Illness** Form 10200.131 (Appendix F) This form is filled out and sent to 1350 Beardshear Hall, ISU for further processing.

### 4.2 INVESTIGATION, CLASSIFICATION & REPORTING

All accident investigations and reporting will be conducted in accordance with Procedure #40000.001: *Ames Laboratory Occurrence Reporting and Processing Implementation Plan.* Table 1 (page 8) – "Accident/Incident Classification and Associated Notifications and Reviews" summarizes accident/incident classification and associated notifications and reviews. A brief summary is also provided below:

### 4.2.1 CLASSIFICATION

Four classes of accidents or incidents have been established at Ames Laboratory:

- Class I Accidents of highest severity, with the greatest impact on or damage to Laboratory programs, operations or personnel (e.g. fatality, permanent total disability, property damage greater that 2.5M, etc.).
- Class II Accidents of high severity, with high impact on or damage to Laboratory programs, operations or personnel (e.g., occupational illness that requires in-patient hospitalization, property damage > \$1M but < \$2.5M, etc.).
- Class III Accidents of moderate severity, with moderate impact on or damage to Laboratory programs, operations or personnel (e.g., recordable injury or illness, property damage ≥ \$5000 but < \$1M, etc.).
- Class IV Accidents of minor severity, with minor impact on or damage to Laboratory programs, operations or personnel (e.g. first aid injuries) and incidents.

Office: Environment, Safety, Health & Assurance Revision: 2

Title: Accidents, Incidents & Employee Safety Concerns: Effective Date: 3/1/02

Classification & Investigation

Page: 60f 8 Review Date: 3/1/2005

### 4.2.2 INVESTIGATION

<u>Class I accidents require a Type A</u> investigation by a board appointed and managed by the Office of the Assistant Secretary for Environment, Safety and Health in accordance with DOE O 225.1A.

<u>Class II accidents require a Type B</u> investigation by a board appointed and managed at the Field Level in accordance with DOE O 225.1A.

<u>All Class III</u> accidents shall be conducted in accordance with established accident investigation procedures by Ames Laboratory personnel including ESH&A specialists with training on accident investigation principles.

<u>Class IV</u> incidents will be conducted informally and include research and ESH&A personnel. A graded approach shall be applied to Class III & IV investigations taking into account the severity and nature of the accident or incident.

Ames Laboratory shall establish and maintain readiness to respond to accidents, mitigate the consequences, collect and preserving evidence to conduct the investigation. This readiness shall include preserving the accident scene to the extent that is possible, documenting the accident scene through photography and other means.

Ames Laboratory shall also prepare, implement and track to completion approved corrective action plans that satisfy judgments of need identified through the investigation.

### 4.2.3 REPORTING & NOTIFICATION

The Laboratory Director, Iowa Occupational Safety & Health and the Ames Area Office – Chicago are notified of all Class I accidents; the Laboratory Director and the Ames Area Office – Chicago are notified of all Class II accidents.

ORPS and CAIRS reports are filed.

CAIRS reports are filed for all Class III accidents and incidents.

Affected research groups are notified of Class IV accidents and incidents.

### 4.3 EMPLOYEE SAFETY CONCERNS PROGRAM

ESH&A shall document employee concerns utilizing the Incident and Concern Reporting Form 10200.088 (Appendix E). These forms may also be filled out by employees upon request. Instructions for filling out the forms are as follows:

Date: Date of occurrence/concern.

Time: Time of concern or when report is filed.

Name: Fill in your name.

Bldg./Room: Fill in building and room where concern is located.

Phone: - Fill in your phone number.

ESH&A Point-of-Contact: Name of ESH&A person who received information or was assigned to follow up on issue.

Office: Environment, Safety, Health & Assurance Revision: 2

Title: Accidents, Incidents & Employee Safety Concerns: Effective Date: 3/1/02

Classification & Investigation

Page: 7of 8 Review Date: 3/1/2005

<u>Nature of Incident/Concern</u> - Briefly describe the nature of the concern including time of discovery, any actions taken upon learning of the concerns and previous reporting.

(Form is forwarded to Industrial Safety Specialist at G40 TASF for processing/classification)

<u>Classification</u>: Incident/concern will be classified by ESH&A in accordance with the definitions in Table 1. All concerns that don't involve personal injury or any of the other components listed will be classified as Class IV.

<u>Root Causal Determination</u>: Upon completion of the investigation, a root causal determination will be defined for each concern.

Comments: Additional comments pertinent to the concern will be added.

Area of Concern: The concern will be classified in one of the major topical areas listed.

Number: \_\_\_\_\_: Each concern will be given a unique number that will correspond to the year and be assigned a sequential number (e.g., 01-001, 01-002, 01-003, etc.)

<u>Acknowledge date:</u> Number of days from point of notification to ESH&A notification of the affected party.

<u>Address date</u>: Number of days from point of notification to concern being formally addressed by ESH&A or other Laboratory entity.

Each concern will be thoroughly evaluated by an ESH&A Specialist. The form shall serve as the mechanism by which documentation of events shall occur. Any supporting documentation will be attached to the form for future reference.

All new employees receive introductory information describing the Employee Safety Concerns Program in General Employee Training (required). Program information is made available to employees on a periodic basis via lab-wide announcements (e.g. *Insider*).

#### 4.4 LESSONS LEARNED PROGRAM

Depending on the nature of the incident or accident, the Ames Laboratory Lessons Learned Program may disseminate information from an investigation. A detailed description of the Lessons Learned Program can be found in plan #10200.010: *Ames Laboratory Lessons Learned Implementation Plan*.

### 4.5 OCCURRENCE REPORTING

Depending on the nature of the incident or accident, a report may be submitted to the DOE Occurrence Reporting and Processing System. For a detailed summary of ORPS, the reader is referred to DOE Order 232.1A and summary information in the ESH&A office.

# 4.6 COMPUTERIZED ACCIDENT & INCIDENT INVESTIGATION REPORTING SYSTEM (CAIRS)

Depending on the nature of the incident or accident, a report may be submitted to the DOE Computerized Accident & Incident Investigation Reporting System (CAIRS). For a detailed summary of CAIRS, consult information in the ESH&A office.

Office: Environment, Safety, Health & Assurance

Title: Accidents, Incidents & Employee Safety Concerns: Effective Date: 3/1/02

Classification & Investigation

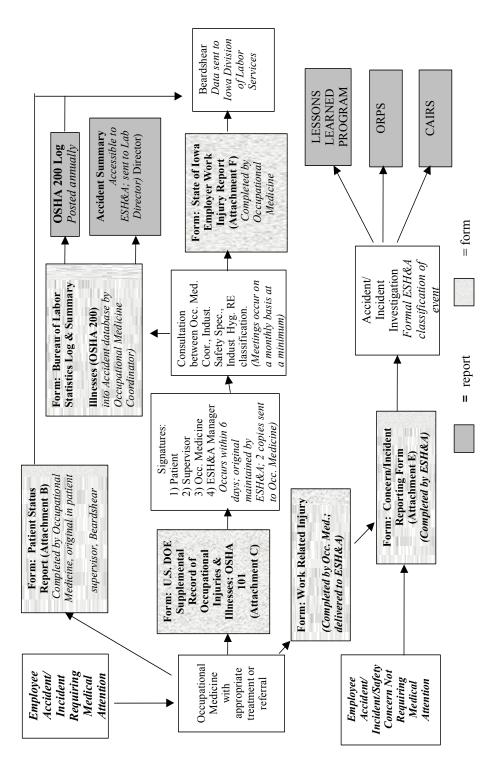
Page: 8of 8 Review Date: 3/1/2005

# TABLE 1 - ACCIDENT/INCIDENT CLASSIFICATION AND ASSOCIATED NOTIFICATIONS AND REVIEWS

Revision: 2

CLASS	ACCIDENT	NOTIFICATION	INVESTIGATION OFFICE	MANAGEMENT REVIEW
I	Fatality; 1 incident involving hospitalization of three or more individuals; Permanent total disability; Property damage—\$2.5M; Environmental release—5x reportable quantities with significant off-site effects; Loss/theft of radioactive material that may present a health hazard to the public; Rad exp—25 rem TEDE; 75 rem eye; 250 rem extremity, organ or skin; 2.5 rem to fetus; Release of radioactivity—5000 X concentration guides	Lab Director IOSH Ames Area Office – CH ORPS CAIRS	DOE – CH (Type A)	DOE – CH
П	Incident with hospitalization of 1 or more individuals for more than 5 continuous days; Property damage — \$1M and < \$2.5M; Radiation exposure: 10 rem whole body < 25 rem; 30 rem eye < 75 rem; 100 rem organ/extremity/skin < 250 rem; 1 rem fetus < 2.5 rem; Release of hazardous material — 2 times but 5 times the reportable quantities, that results in serious environmental damage	Lab Director Ames Area Office – CH ORPS CAIRS	DOE – CH (Type B)	DOE – CH
Ш	Recordable injury with lost/restricted work days; Recordable injury without lost/restricted work days; Occupational illness; Property damage <\$1M —\$5000; Vehicle damage —\$1000; Environmental release — reportable quantities	CAIRS	Ames Laboratory	Ames Laboratory
IV	Non-recordable injuries (first aid); Near misses	Research Group	Research Group Ames Laboratory	Research Group Ames Laboratory

Appendix A
Diagram 1 Investigation and Recordkeeping Process
Form # 10200.128 Rev 0



## Appendix B

## Iowa State University/Ames Laboratory

Occupational Medicine Ames, Iowa 50011-3020

Referred to

Discharged from treatment on \_\_\_

White: Occupational Medicine copy

No permanent impairment anticipated.

\*\* Patient instructions given and patient verbalizes understanding of same. \*\*

Yellow: Patient copy

515 294-2056 FAX 515 294-1967

Date \_\_\_\_\_ Time \_\_\_\_am/pm

psr 8/96

Steven R. Sheldahl, M.D.

\*\*Patient's Signature

Gold: Administration copy

### PATIENT STATUS REPORT Time in Time out Patient: Date seen: Date injured: Diagnosis: Anticipated return to work Unable to perform any work Fit for full duty on \_\_\_\_ Full duty \_\_\_\_\_ Fit for modified duty\* on Modified duty Work Related: Yes No Undetermined Comments: No lifting over \_\_\_\_\_lbs. Avoid repetitive bending and twisting. No overhead work. Sit down duties only. Standing and walking as tolerated. No use of No repetitive or forceful gripping, pinching, or wrist motions with hand: R L Both Keep wound clean and dry. No overtime work. Keep splint on No driving or operating dangerous equipment. No kneeling or squatting. Limit keyboard use to \_\_\_\_\_ Avoid exposure to \_\_\_\_\_ No pushing or pulling. \* If work that satisfies the above limitations cannot be provided, the patient is not to work and should return as scheduled. Medication Physical Therapy To return to clinic in \_\_\_\_\_ days, weeks, months

Patient Status Form October 2001 Form # 10200.129

Pink: Supervisor copy

# Appendix C

(8-80) DOE 5484.	.3 1	U.S. Departr	ment Of Energy	
Case o	or File No.		3,	10
		ementary Record Of Occupa	ational Injuries And Illnes	505
		ER: Ames Laboratory, lowa		
NJURE	ED OR ILL EMP		caroloty, Panes,	10Wa 50011
1	l. Name	** <u>*</u>	Social Security No:	
2	(First 2. Home Addres	Name) (Middle Name) (Last Na S(No.0.000)	ime)	
3	. Age	(No. & Street) 4. Gender: Male_	(City/Town)	(State/Zip)
5	<ul> <li>Occupation</li> </ul>		A	(Check One)
6		nter regular job title, not the specific		ng at time of injury.)
	(Er em	nter name of department or division in w ployee may have been temporarily wor	hich the injured person is regularly e king in another department at the tir	employed, even though
HE AC	CIDENT OR EX	POSURE TO OCCUPATION		, , , ,
7.	Place of accide	nt or exposure		
8.	Was place of a	(No. & Street)	(City/Town)	(State/Zip)
9.				No
	or handling mater	ials, name them and tell what he/sh	(Be specific. If he/she was usi	ng tools or equipmen
			- was doing with them.)	
10.	was involved. G	cident occur? (Describe fully the thappened and how it happened. Notice full details on all factors which like is needed.)	events which resulted in the injudence any object or substance in	ury or occupational volved and tell how it
	if additional space	e is needed.)	a or contributed to the accident	. Use separate shee
8 0				
11.	Describe the inj	ury or illness in detail and ind	icate the part of body affect	ted (a.a.
	amputation of rig	nt index finger at second joint: fract	icate the part of body affec ure of ribs; lead poisoning; derm	atitis of left hand, etc
		otto s. Elizabetha et al Acceptura et al Accep		entraine, cit
	11	Y		
	Name the objec	t or substance which directly i	njured the employee. (For	example, the
	Name the object machine or thing swallowed; the ch	Y	njured the employee. (For	example, the
12. 13.	Name the object machine or thing swallowed; the ching employed.	t or substance which directly i employee struck against or which si emical or radiation which imitated e ee was lifting, pulling, etc.)	njured the employee. (For truck the employee; the vapor of mployee's skin; or in cases of st	example, the r poison inhaled or rains, hemias, etc.,
12. 13.	Name the object machine or thing swallowed; the ching employed.	t or substance which directly i employee struck against or which si emical or radiation which imitated e ee was lifting, pulling, etc.)	njured the employee. (For truck the employee; the vapor of mployee's skin; or in cases of state of the company	example, the r poison inhaled or rains, hemias, etc.,
12. 13.	Name the object machine or thing swallowed; the ching employed.	t or substance which directly i employee struck against or which s emical or radiation which imitated e ee was lifting, pulling, etc.)	njured the employee. (For truck the employee; the vapor of mployee's skin; or in cases of st	example, the r poison inhaled or rains, hemias, etc.,
13. 14. THER 15.	Name the object machine or thing swallowed; the ching employed.  Date and time or Did the employed.	t or substance which directly is employee struck against or which stremical or radiation which imitated expenses as lifting, pulling, etc.)  f injury or initial diagnosis of one die? Yes No	njured the employee. (For truck the employee; the vapor of mployee's skin; or in cases of structure of the cases of the ca	example, the r poison inhaled or rains, hemias, etc.,
13. 14. THER 15.	Name the object machine or thing swallowed; the ching employed.  Date and time or Did the employed.	t or substance which directly is employee struck against or which stremical or radiation which imitated expenses as lifting, pulling, etc.)  f injury or initial diagnosis of one die? Yes No	njured the employee. (For truck the employee; the vapor of mployee's skin; or in cases of structure of the cases of the ca	example, the r poison inhaled or rains, hemias, etc.,
13. 14. THER 15.	Name the object machine or thing swallowed; the ching employed the thing employed.  Date and time or Did the employed.  Name and address of the ching employed the employed.	t or substance which directly is employee struck against or which stremical or radiation which imitated exercise was lifting, pulling, etc.)  f injury or initial diagnosis of one die? YesNo  ess of physician ame and address of hospital	njured the employee. (For truck the employee; the vapor o mployee's skin; or in cases of st accupational illness	example, the r poison inhaled or rains, hemias, etc.,
13. 14. THER 15.	Name the object machine or thing swallowed; the ching employed the thing employed bate and time or Did the employed Name and address of hospitalized, not prepared By	t or substance which directly is employee struck against or which is emical or radiation which imitated every was lifting, pulling, etc.)  f injury or initial diagnosis of one die? Yes No  ess of physician ame and address of hospital	njured the employee. (For truck the employee; the vapor o mployee's skin; or in cases of st eccupational illness	example, the r poison inhaled or rains, hemias, etc.,
13. 14. THER 15.	Name the object machine or thing swallowed; the ching employed the thing employed.  Date and time or Did the employed.  Name and address of the ching employed.  Prepared By	t or substance which directly is employee struck against or which stremical or radiation which imitated exercise was lifting, pulling, etc.)  f injury or initial diagnosis of one die? YesNo  ess of physician ame and address of hospital	njured the employee. (For truck the employee; the vapor o mployee's skin; or in cases of st eccupational illness	example, the r poison inhaled or rains, hemias, etc.,

## Appendix D

To:	ESH&A G40 Staff		
From:	Occupational Medicine G11 TASF		
Subject:	Work Related Injury Report		
Employee'	s Name:		
Location o	f Incident:		
Injury:			
Date and ti	ime of incident:		
Occupational Medicine Signature		Date	
Work Rel	lated Injury Report Occupational Medicine	Revision 0 February 1998	Form # 46600.024

## Appendix E

## INCIDENT & CONCERN REPORTING FORM

Date:	<u>Tim</u>	<u>e</u> :		
	•	ESH&A (Attach a Report (Attach doc	ny documentation). umentation).	
Name:	I	Bldg./Room:	Phone: _	
ESH&A Poir	nt-of-Contact:			
Nature of Inc	cident / Concern	(Include a discussio	on of investigation and i	resolution of event):
	(Forward	to Industrial Safety	Specialist at G40 TAS	(F)
Classification	n: [] Type I	[ ] Type II	Гуре III [] Туре IV	(Concern)
Root Causal I	Determination			
Comments:				
Area of Concern:	[ ] Health Physics [ ] Emissions & P2	[ ] Cylinders/gas [ ] Hoisting/rigging	Egress Path     Industrial Safety     Property Management	[ ] Waste Management
Number:	(e.g., 0	1- 001, 01-002, 01-003	, etc.)	
Acknowledge	e date:	_ (# days)	Address Date:	(# days)
	(Forward to Emp	loyee Concerns Fil	e and Enter into CA5 l	Database)

### Appendix F

Workers' Compensation – FIRST REPORT OF INJURY OR ILLNESS Jurisdiction Code: Jurisdiction Claim Number

Send completed form to: Risk Management, Rm 1350 Beardshear Hall, ISU FAX (515)294-1621 PHONE 294-7711 1. Claim Administrator Name: 3. Claim Representative Business Phone No.: 6. Insurer Name (if different than claim administrator): SEDGWICK CLAIMS MANAGEMENT SERVICES (515) 327-4888 IOWA - - STATE OF 2. Mailing Address, City, State, & Postal Code: 4. Claim Administrator Claim No.: 7. Insurer FEIN: 420932069 CLAIM 12119 STRATFORD DRIVE CLIVE, IA 50325-8146 5. Claim Administrator FEIN: 362685608 8. Claim Type Code: 9. Employer Name: 12. Employer FEIN: 14. Insured Report No.: 17. Employer Type Code: IOWA - - STATE OF 420932069 Employer (E) Lessor (L) 10. Physical Address, City, State, & Postal Code 13. Mailing Address, City, State & postal Code: 15. Industry Code: 400 E 14<sup>™</sup> STREET 400 E 14<sup>™</sup> STREET DES MOINES, IA 50319-9001 DES MOINES, IOWA 16. Insured Location No.: 18. Employer UI No.: 11. Nature of Business: 19. Employer Contact Name and Business Phone Number: GOVERNMENT Joni Ward, Risk Management, Iowa State University 515-294-7083 (William West IDOP 515-281-3360) 26. Self Insurance 20. Insured Name 21. Insured FEIN: 22. Insured 23. Policy/Contract No.: 24. Coverage Effective (parent company if different from employer): License/Certificate Postal Code: 25. Coverage Expiration 27. Employee Name (First, Middle, Last, & Suffix): 33. Date of Birth: 36. Gender 38. Tax Filing Status (check one): ☐ Single (A) 1 ☐ Single/Head of Household (B) Age: 37. Educational Level: 28. Residential Mailing Address: 34. Date of Hire: N/A ☐ Married/Filing Separate (D) Street/PO Box: City: 35. Employment Status 39. Employee ID No.: 40. Marital Status (check one): State: Postal Code: Unmarried (U)
Married (M) (check one): 29. Phone Number (include area code): ID#· Piece Worker (check one) Volunteer ☐ Separated (S) Social Security No. Seasonal 30. Occupation Description: Apprenticeship/FT Passport No. ☐ Apprenticeship/PT 31. Manual Classification Code: Green Card 41. Employee's Authorization to Release the Following: Regular Employee/FT ☐ Employee ID ☐ YES☐ YES □ NO Medical Records ☐ Regular Employee/PT Assigned 32. Department Where Regularly Worked: Social Security Number Other 42. Average Wage \$\_ (check one): 44. Salary Continued in Lieu of Compensation: 47. Employee Number of Dependents: ☐ bi-weekly ☐YES ☐ NO hourly ☐ daily weekly weekly monthly annual semi-monthly 45. Full Wages Paid for Date of Injury: 48. Employee Number of Exemptions: ☐ YES ☐ NO (check one) □ Withholding 43. Number of Days Regularly Worked Per Week: 46. Discontinued Fringe Benefits: 49 Date of Injury 63. Describe the nature of the injury (ex. amputation, burn, cut, fracture): Date Employer Had Knowledge of the Injury 50. 51. Date Administrator Had Knowledge of the Injury Last Day Worked 64. Part(s) of body directly affected by the injury or illness (ex. hand, arm, circulatory system): 52 Initial Return to Work Date (if applicable) 53. 54. Employee Date of Death (if applicable) 55. Time of Injury 65. Describe the events that caused the injury (ex. fell, operating machinery, chemical exposure): 56. Time Employee Began Work 57. Pre-existing Disability Code: □ NO ☐ Unknown ☐ YES 58. Accident Premises Code: 66. Name the object or substance that directly injured the employee (ex. knife, floor, acid, oil): ☐ Lessee (L) ☐ Other (X) ☐ Employer (E) 59. Accident Site Organization Name: Iowa State University 67. Specify activity the employee was engaged in when the event occurred (ex. cutting metal plate for 60. Accident Site: Street: flooring). Indicate if activity was part of normal duties: City: State: Iowa Zip: 61. Accident Location narrative (if no street address): 62. Accident Site County/Parish: 68. Witness Name and Business Phone Number: 69. Initial Treatment Code (check one): 70. Initial Medical Provider Name: 72. Managed Care Organization Name or ID No.: no medical treatment (0) emergency care (3) N/A 71. Initial Medical Provider Physical Location minor/on-site treatment (1) ☐ hospitalization > 24 hours (4) 73. ICD Primary Diagnostic Code (if known): ☐ clinic/hospital visit (2) City: Postal Code: State: 74. Preparer's Name & Title (Supervisor) 75. Preparer's Department: 76. Preparer's Ph. Number: 77. Date: